

State of California  
State Water Resources Control Board  
**No Exposure Certification**

Submission of this No Exposure Certification (NEC) constitutes notification by the facility operator identified on this form that there is no exposure of the facility's industrial activities, equipment, and materials to storm water in accordance with the requirements in Section B.12.a.i. of the Industrial Activities Storm Water General Permit No. 97-03-DWQ (General Permit). Facility operators who are not in compliance with the General Permit are not eligible to file a NEC. This NEC and supporting documentation must be submitted to the appropriate Regional Water Board (Attachment 3) prior to the wet season (October 1). Unless otherwise notified by the Regional Water Board, the facility operator is exempt from sampling and analysis requirements. Facility operators are required to re-evaluate their facilities annually and certify in their annual reports that the NEC eligibility requirements are continuously being met. If the Regional Water Board denies the NEC, or if the facility operator determines that NEC eligibility requirements are no longer being met, the facility operator must collect and analyze samples from two storm events during each wet season. Please type or print when completing this form and attach any required documents.

**I. WDID Number:** \_\_\_\_\_

**II. BUSINESS OWNER/FACILITY OPERATOR INFORMATION**

Company Name: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Contact Title: \_\_\_\_\_

Contact Phone: (\_\_\_\_) \_\_\_\_\_ Contact Fax: (\_\_\_\_) \_\_\_\_\_

Contact E-mail: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**III. BUSINESS/FACILITY LOCATION INFORMATION**

Business/Company Name: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Contact Title: \_\_\_\_\_

Contact Phone: (\_\_\_\_) \_\_\_\_\_ Contact Fax: (\_\_\_\_) \_\_\_\_\_

Contact E-mail: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

SIC Code(s)

Type(s) of Business

1. \_\_\_\_/\_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_\_\_

2. \_\_\_\_/\_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_\_\_

3. \_\_\_\_/\_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_\_\_

**IV. DOCUMENT CHECKLIST** (Please check each item to verify that the documents are attached)

☐ Copy of Facility's Storm Water Pollution Prevention Plan

☐ Copy of Facility's Monitoring Program

☐ Checklist to Evaluate Potential Storm Water Pollutant Sources (Attachment 1)

☐ SWPPP and Monitoring Program Checklist (Attachment 2)

☐ Copy of the Last Annual Report

☐ A Report Explaining each Question Answered "Yes" in Attachment 1

**V. CERTIFICATION**

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to ensure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, or those persons directly responsible for gathering the information, the information submitted, is to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fine and imprisonment for knowing violations. Additionally, I certify that:

- (1) All prohibited non-storm water discharges have been eliminated or otherwise permitted.
- (2) All authorized non-storm water discharges have been identified and addressed in the SWPPP.
- (3) All areas of past exposure have been inspected and cleaned, as appropriate.
- (4) All significant materials related to industrial activity (including waste materials) are not exposed to storm water or authorized non-storm water discharges.

- (5) All industrial activities and industrial equipment are not exposed to storm water or authorized non-storm water discharges.
- (6) There is no exposure of storm water to significant materials associated with industrial activity through other direct or indirect pathways such as from industrial activities that generate dust and particulates.
- (7) The facility will be re-evaluated at least once a year to establish that conditions (1), (2), (4), (5), and (6) above are continuously met (Certification in future annual reports is required).

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 Printed Name

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 Title

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 Signature

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 Date

This No Exposure Certification must be signed by, (a) For a Corporation: a responsible corporate officer (or authorized official), (b) For a Partnership or Sole Proprietorship: a general partner or proprietor, respectively, (c) For a Municipality, State, or other Non-Federal Public Agency: either a principal executive officer or ranking elected official, (d) For a Federal Agency: either the chief or senior executive officer of the agency.

### **REGIONAL WATER BOARD USE ONLY**

<input type="checkbox"/> <b>Approved</b> <input type="checkbox"/> <b>Denied</b>	<input type="checkbox"/> Retained at Regional Board Office <input type="checkbox"/> Returned to Applicant
<hr/> Printed Name	<hr/> Signature
<hr/> Date	

### **CHECKLIST TO EVALUATE POTENTIAL STORM WATER POLLUTANT SOURCES**

The purpose of this checklist is to 1) help you determine whether the exposure of industrial activities, materials, and equipment to storm water has been eliminated at the facility, and 2) help Regional Water Board staff evaluate the adequacy of your compliance activities and No Exposure Certification (NEC). Please answer all questions. Answering "YES" to a question does not negate your NEC. For each "yes" answer, explain what you are doing to eliminate or prevent exposure from the potential source. For example, if there are liquid storage tanks outdoors but all the storm water is collected behind secondary containment structures and discharged to the sanitary sewer, then the potential source for storm water exposure may be satisfactorily eliminated. For the purpose of this questionnaire, "outdoors" are areas of the facility that are not beneath permanent roofed structures, and spill contained.

#### **1. All prohibited non-storm water discharges have been eliminated or otherwise permitted.**

	<b>YES</b>	<b>NO</b>
a. Are materials, vehicles, or equipment cleaned outdoors?	_____	_____
b. Are wash or rinse waters generated on-site?	_____	_____
c. Are there any discharges (other than storm water) entering the storm drain system?	_____	_____
d. Do any drains under roofed areas discharge to the storm drain system?	_____	_____
e. Have there been any accidental spills into the storm drain system in the last year?	_____	_____
f. Are any process waste waters disposed of outdoors?	_____	_____

#### **2. All significant materials related to industrial activity (including waste materials) are not exposed to storm water or authorized non-storm water discharges.**

	<b>YES</b>	<b>NO</b>
a. Are there any materials stored outdoors?	_____	_____
b. Are there any materials handled outdoors?	_____	_____
c. Are there any outdoor loading docks?	_____	_____
d. Are there any above ground liquid or non-liquid storage tanks outdoors?	_____	_____
e. Are there any outdoor loading/unloading operations?	_____	_____
f. Are there any products or by-products manufactured or used outdoors?	_____	_____
g. Are there any waste products manufactured or used outdoors?	_____	_____
h. Are there any outdoor waste disposal areas?	_____	_____
i. Is any process wastewater disposed of outdoors?	_____	_____

- |   |       |       |
|---|-------|-------|
| j. Are there any drums, pallets, or containers stored outdoor?                                  | _____ | _____ |
| k. Are materials handled/stored on immediate access roads/railways?                             | _____ | _____ |
| l. Are vehicles maintained or fueled outdoors?  | _____ | _____ |
| m. Are any materials stored or disposed of in outdoor ponds or impoundments?                    | _____ | _____ |
| n. Are materials stored outdoors temporarily?   | _____ | _____ |
| o. Does any manufacturing take place outdoors?  | _____ | _____ |
| p. Have there been any spills or leaks outdoors in the last year?                               | _____ | _____ |
| q. Are there areas where materials remain exposed to storm water from past industrial activity? | _____ | _____ |

**3. All industrial activities and industrial equipment are not exposed to storm water or authorized non-storm water discharges.**

- |   | <b>YES</b> | <b>NO</b> |
|---|------------|-----------|
| a. Are any material handling vehicles (such as forklifts) parked outdoors?  |            |           |
| b. Is permanent industrial equipment (such as trash/paper compactor, racks, machine with moving parts, etc.) located outdoors?        | _____      | _____     |
| c. Is portable industrial equipment used outdoors?  | _____      | _____     |
| d. Do any material handling vehicles (such as forklifts and trucks) or outdoor industrial equipment come into contact with materials? | _____      | _____     |
| e. Is there any unhoused rooftop equipment (such as air conditioners, scrubbers, etc.)?   | _____      | _____     |

**4. There is no exposure of storm water to significant materials associated with industrial activities through direct or indirect pathways such as from industrial activities that generate dust and particulates.**

- |  | <b>YES</b> | <b>NO</b> |
|--|------------|-----------|
| a. Are there any emissions of dust or particles from stacks or air exhaust systems?                      | _____      | _____     |
| b. Are there any emissions of dust or particles from other outlets such as windows, loading docks, etc.? | _____      | _____     |
| c. Have there been any spills or leaks associated with the maintenance of stacks or air exhaust systems? | _____      | _____     |

## SWPPP AND MONITORING PROGRAM CHECKLIST

Your SWPPP and monitoring program must incorporate all the major elements required by the General Permit. Indicate the page numbers of the following elements of your SWPPP and monitoring program.

	<b>Pages</b>
<b>A. SWPPP</b>	
1. Pollution Prevention Team	_____
2. Site Map	_____
3. List of Significant Materials	_____
4. Description of Potential Pollutant Sources	_____
5. Description of all authorized non-storm water discharges	_____
6. Assessment of Potential Pollutant Sources	_____
7. Storm Water Best Management Practices	_____
8. Summary Table of Pollutant Sources and Corresponding BMPs	_____
9. Procedures to conduct an Annual Comprehensive Site Compliance Evaluation	_____
<b>B. MONITORING PROGRAM</b>	
1. Procedures for conducting quarterly visual observations of authorized non-storm water discharge.	_____
2. Procedures for conducting quarterly visual observations to detect the presence of unauthorized non-storm water discharges.	_____
3. Procedures for conducting monthly wet season visual observations of storm water discharges.	_____
4. Procedures for re-evaluating the facility to determine whether the NEC eligibility requirements are continually met.	_____